ALABAMA SECURITIES COMMISSION COMPLAINT FORM

		OR PERSON COMPLAINT IS AGAINST:
Address:		
City:	State:	Zip Code:
Phone Number:	Eı	mail:
STATE YOUR NAME	AND ADDRESS.	
Address:		
City:	State:	Zip Code:
Home Phone Number: _		Work Phone Number:
TYPE OF COMPLAIN		
Complaint again	st an Individual	
Other, Trease of	•	
Date of Transaction: _		
Place of Transaction (S	pecify the States in wh	nich you and the salesman were located)
Witnesses to the Transa	action:	
V 2		ock, note, limited partnership, etc. If you are not certain,
If you invested in	n stock or bonds, what	t was the name of the issuing corporation?
• If you invested in	n a note, who was the	maker (Company or Individual) responsible for paying it?
• If you invested in	n a partnership, what v	was the name of that partnership?
• Other:		
A mount involved in the	ngaation	
amount myoryeu m trai	115aCUVII.	
· ·	ou provide evidence of NO YES	f investment (front and back of checks; cashiers checks;
Did vou sion any naner	s or documents? NO	☐ YES ☐ (If Yes, please attach copies of them.)

Complaint Form – Page 2
How did you first learn about this investment?
Have you complained to the Company or Firm? NO ☐ YES ☐ (If yes, to whom?)
What was the response?
May we send a copy of your complaint to the firm or individual complained against? NO [ES]
Does an attorney represent you in this matter? NO \square YES \square
If YES, give Attorney's Name and Address: Name: Address:
City: State: Zip Code:
Did you begin any legal action against this company? NO YES (Explain)
Are you willing to sign an affidavit or testify regarding your transaction with this Company? NO YES
Specify other governmental or regulatory agencies contacted:
May we send a copy of your complaint to another governmental agency or regulatory body for their review or investigation? NO \square YES \square
Did you tape-record any of your conversations regarding the transaction(s)? NO \square YES \square
Names, telephone numbers and/or addresses of any other known investors:

Complaint Form – Page 3

Please explain the entire circumstances surrounding your complainment to include all details about the transaction, no matter he are. Please be specific in referring to any names, dates or docum occurred outside of Alabama, please indicate that fact. Rememb information, rather than too little information. Be sure to describing instruments you received evidencing you investment. (If additional additional contents are circumstances and contents are circumstances.)	ow unimportant you may think they nents. Also, if any part of the transaction er that it is better to include too much be the type of investment and any
The above is true and accurate to the best of my knowledge.	
Signature:	Date:
Return completed form to:	

Alabama Securities Commission Enforcement Division P.O. Box 304700 Montgomery, AL 36130-4700